10,29,03 Express Mail No. EL612596502U PTO/SB/21 (08-03) Approved for use through 08/30/2003. OMB 0651-0031 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE 2 7 2003 work Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. Application Number 09/749 285 TRANSMITTAL Filing Date CRADEMARY December 26, 2000 **FORM** First Named Inventor Gene R. Anderson Art Unit 2839 (to be used for all correspondence after initial filing) **Examiner Name** Nguyen, Son Attorney Docket Number 1613370-0012 Total Number of Pages in This Submission **ENCLOSURES** (Check all that apply) After Allowance communication 1 Fee Transmittal Form Drawing(s) to Technology Center (TC) Appeal Communication to Board Licensing-related Papers Fee Attached of Appeals and Interferences Appeal Communication to TC Petition (Appeal Notice, Brief, Reply Brief) Amendment/Reply Petition to Convert to a Proprietary Information

After Final Provisional Application Power of Attorney, Revocation Status Letter Affidavits/declaration(s) Change of Correspondence Address Other Enclosure(s) (please Terminal Disclaimer **Extension of Time Request** Identify below): Copies of 5 Prior Art References Request for Refund Express Abandonment Request PTO Forms SB08A / 08B Return Postcard CD, Number of CD(s) Information Disclosure Statement Remarks Certified Copy of Priority Document(s) Response to Missing Parts/ Incomplete Application Response to Missing Parts under 37 CFR 1.52 or 1.53 SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT Firm James M. Wu, Reg. No. 45,241 White & Case LI Individual name Signature Date Øctober 27 20013 CERTIFICATE OF TRANSMISSION/MAILING VIA EXPRESS MAIL

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Date

October 27, 2003

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the date shown below.

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Signature

Christina Ishihara

PTO/SB/17 (10-03)

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FEE TRANSMITTAL		Complete if Known			
		Application Number	09/749,285		
for FY 2004 Effective 10/01/2003. Patent fees are subject to annual revision.		Filing Date	December 26, 2000		
		First Named Inventor	Gene R. Anderson		
		Examiner Name	Nguyen, Son		
Applicant claims small entity status. See 37 CFR 1.27		Art Unit	2839		
TOTAL AMOUNT OF PAYMENT	(\$) 180.00	Attorney Docket No.	1613370-0012		

Altorney Docker No. 17073570-0012						
METHOD OF PAYMENT (check all that apply)	FEE CALCULATION (continued)					
Check Credit card Money Other None	3. ADDITIONAL FEES					
Order Order	<u>Large</u>	Entity	Small	Entity	•	
Deposit Account:	Fee	Fee		Fee	Fee Description	
Deposit Account 23-1703	1051	(\$) 130	Code 2051	(\$)	Surcharge - late filing fee or oath	Fee Paid
Number Deposit	1051	50	2052		Surcharge - late provisional filing fee or	
Account Name White & Case LLP					cover sheet	
The Director is authorized to: (check all that apply)	1053	130	1053		Non-English specification	
Charge fee(s) indicated below Credit any overpayments		2,520	1812	•	For filing a request for ex parte reexamination	-
Charge any additional fee(s) or any underpayment of fee(s)	1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
Charge fee(s) indicated below, except for the filing fee	1805	1,840*	1805	1,840*	Requesting publication of SIR after	
to the above-identified deposit account.	 .				Examiner action	
FEE CALCULATION	1251	110	2251	55	Extension for reply within first month	
1. BASIC FILING FEE	1252	420	2252	210		
Large Entity Small Entity	1253	950	2253	475	Extension for reply within third month	
Fee Fee Fee Fee Paid Code (\$) Code (\$)	1254	1,480	2254	740	Extension for reply within fourth month	<u> </u>
1001 770 2001 385 Utility filing fee	1255	2,010	2255	1,005	Extension for reply within fifth month	
1002 340 2002 170 Design filing fee	1401	330	2401	165	Notice of Appeal	<u> </u>
1003 530 2003 265 Plant filing fee	1402	330	2402	165	Filing a brief in support of an appeal	
1004 770 2004 385 Reissue filing fee	1403	290	2403	145	Request for oral hearing	\sqcup
1005 160 2005 80 Provisional filing fee	1451	1,510	1451	1,510	Petition to institute a public use proceeding	
SUBTOTAL (1) (\$)	1452	110	2452	55	Petition to revive - unavoidable	
	1453	1,330	2453	665	Petition to revive - unintentional	
2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE Fee from	1501	1,330	2501	665	Utility issue fee (or reissue)	
Ext <u>ra Claims below</u> Fee Paid	1502	480	2502	240	Design issue fee	
Total Claims20** = X =	1503	640	2503	320	Plant issue fee	
Independent Claims - 3** = X =	1460	130	1460	130	Petitions to the Commissioner	
Multiple Dependent =	1807	50	1807	7 50	Processing fee under 37 CFR 1.17(q)	
Large Entity Small Entity	1806	180	1806		Submission of Information Disclosure Stmt	180.00
Fee Fee Fee <u>Fee Description</u> Code (\$)	8021	40	802	1 40	Recording each patent assignment per property (times number of properties)	
1202 18 2202 9 Claims in excess of 20	1809	770	2809	9 385	Filing a submission after final rejection	
1201 86 2201 43 Independent claims in excess of 3					(37 ČFR 1.129(a))	
1203 290 2203 145 Multiple dependent claim, if not paid	1810	770	2810	385	For each additional invention to be examined (37 CFR 1.129(b))	
1204 86 2204 43 ** Reissue independent claims over original patent	1801	770	2801	385	Request for Continued Examination (RCE)	
1205 18 2205 9 ** Reissue claims in excess of 20 and over original patent	1802		1802		• • • • • • • • • • • • • • • • • • • •	
	Other	fee (sp	ecify) _			
SUBTOTAL (2) (\$)	11			Filing F	ee Paid SUBTOTAL (3) (\$) 180.6	00
**or number previously paid, if greater; For Reissues, see above SUBTOTAL (3) (\$) 180.00						

SUBMITTED BY	10			(Complete	e (if applicable))
Name (Print/Type)	James M. Wy	Registration No. (Attorney/Agent)	45,241	Telephon	e 650.213.0302
Signature	STHEIL SO			Date	October 27, 2003

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Gene R. Anderson, et al.

Serial No.: 09/749,285

Group Art Unit: 2839

Filed: December 26, 2000

Examiner: Nguyen, Son

For: Housing and Mounting Structure

White & Case Docket No.: 1613370-0012

I hereby certify that this paper is being deposited with the United States Postal Service as Express Mail No. EL612596502US in an envelope addressed to: Mail Stop I.D.S., Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on October 27, 2003

Christina Ishihara

Signature

October 27, 2003

Date

INFORMATION DISCLOSURE STATEMENT

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Sir:

In accordance with the duty of disclosure imposed by 37 C.F.R. § 1.56 to inform the Patent Office of all references coming to the attention of Applicants or attorneys or agents for Applicants which are or may be material to the examination of the subject application, Attorneys for Applicants hereby invite the Examiner's attention to the reference(s) listed on the accompanying PTO Forms SB/08A and SB/08B.

Identification of references listed on the attached PTO form is not to be construed as an admission of Applicants or attorneys for Applicants that such references are material or available as prior art against the subject application. The right is reserved to antedate any item in accordance with standard procedure.

This submission is understood to complement the results of the Examiner's own independent search. The submission should not be construed as a representation that a search was made, or that the cited items are inclusive of all the relevant and material citations that may be available publicly.

Copies of the cited references are enclosed. Applicants respectfully request that the Examiner review the attached references and that they be made of record in the file history of the above-captioned application.

In connection with the filing of this Information Disclosure Statement,

Commissioner is hereby authorized to charge White & Case LLP Deposit Account No. 23
1703.

Dated: October 27, 2003

ames M. Wu (Reg. No. 45,241)

White & Case LLP

1155 Avenue of the Americas New York, NY 10036-2787 (650) 213-0302

Express Mail No. EL 612596502US PTO/SB/08A (08-03)

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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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Substitute for form 1449/PTO

Sheet 1

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Coi	•	
Application Number	09/749,282	
Filing Date	December 26, 2000	
First Named Inventor	Gene R. Anderson	
Art Unit	2874	
Examiner Name	Rahill, Jerry T.	
Attorney Docket Number	1613370-0011	

			U. S. PATENT	DOCUMENTS	
Examiner Initials*	Cite No.1	Document Number Number-Kind Code ^{2 (# known)}	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		^{US-} 4,479,698	10-30-1984	Landis et al.	
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	FOREIGN PATENT DOCUMENTS							
Examiner Initials*	Cite No.1	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Cines, Where Relevant Passages			
		Country Code ^{3 -} Number ^{4 -} Kind Code ⁵ (if known)	MM-DD-YYYY		Or Relevant Figures Appear	T⁵		
		EP 0 259 888 A2	03-16-1988	NEC Corporation				
		EP 0 607 700 A	07-27-1994	Semicond. Laser				
		EP 0 710 861 A1	05-08-1996	Sumitomo Elect.		L		
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Examiner		Date	
Signature	į c	Considered	

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

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	Substitute for form 1449/PTO		Compl te if Known
4	ADES TO THE PROPERTY OF THE PR	Applicati n Number	09/749,285
	INFORMATION DISCLOSURE	Filing Dat	December 26, 2000
	STATEMENT BY APPLICANT	First Named Inventor	Gene R. Anderson
ļ	(Use as many sheets as necessary)	Art Unit	2389
Į	(Use as many sneets as necessary)	Examiner Name	Nguyen, Son
1	Sheet 2 of 2	Attorney Docket Number	1613370-0012

		NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		CHEONG, J-M et al.; High Alignment Tolerance Coupling Scheme for Multichannel Laser Diode/Singlemode Fibre Modules Using a Tapered Waveguide Array; Electronics Letters; IEE Stevenage; GB; Vol. 30; No. 18; September 1, 1994; pgs. 1515-1516	
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Signature Considered	Examiner	 Date	
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¹ Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

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